Considerations when completing a HRE application

- While completing your Human Research Ethics (HRE) application, ensure the research project meets the key principles of section 1 of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018).
- Clicking the blue question marks at a question provides further information on how a question should be addressed.

1 Application Type
- 1.1 Only tick 'Yes' here if your research project has already received approval from another NHMRC registered Human Research Ethics Committee (HREC)

2 Potential Participant Group
- 2.1 If the response here is 'Yes', ensure you refer to Chapter 4.1 of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018) as you complete your application
- 2.2 If your research involves children or young people, Chapter 4.2 of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018) applies.
- 2.5 If your research targets people with impaired capacity for communication, Chapter 4.5 of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018) applies.
- 2.8 & 2.9 If you indicate 'Yes' to these questions. Human Research Ethics approval is first required from the Departments of Defence and Veterans' Affairs Human Research Ethics Committee. Once approval has been received, the research project will also need to be registered with the USQ HREC, prior to commencing your research.
- 2.11 If your research involves Aboriginal and/or Torres Strait Islander Peoples Chapter 4.7 of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018) and the principles indicated within Guidelines for Ethical Research in Australian Indigenous Studies, 2012 applies. The Lowitja Institute & the Australian Institute of Aboriginal and Torres Strait Islander Studies also contain relevant information and resources.
- 2.13 If research is being conducted with overseas participants, the following sections of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018) needs to be addressed:
  - o 4.8.4 Researchers should inform ethical review bodies in Australia:
    - (a) whether, in the country in which they intend to do research, there are ethics approval processes that are relevant to that research, and whether any such processes are mandatory or voluntary in relation to the proposed research; and
    - (b) how such processes function, the values and principles on which they rely, and whether they require reporting of the Australian review body's approval.
  - o 4.8.8 When research is to be conducted overseas by a researcher who is subject to academic supervision, researchers should inform the Australian ethical review body of how that supervision is to be effected so that due respect and protection will be accorded to participants.
  - o 4.8.13 Institutions and researchers should find out whether researcher they are planning to do in another country is lawful in that country.

3 Proposed Procedures
- 3.2 & 3.3 If 'yes' is indicated here Chapter 3.2 & Chapter 3.3 of the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018).

- 3.4 If the research involves exposes illegal activity or is likely to expose illegal activity; Chapter 4.6 of the [National Statement on Ethical Conduct in Human Research, 2007 (updated 2018)](#) applies.

4 Operational Requirements
- 4.1 & 4.2 If your research involves the recruitment of USQ staff and/ or USQ students permissions from the [appropriate delegate](#) is required, and evidence of this permission must be attached to your application.
- 4.4.1 Please ensure a [USQ Risk Management Plan](#) is completed and submitted. Also, attach a copy to this application
- 4.5 & 4.6 A 'Yes' response is required here if you are collecting any identifiable/ re-identifiable information from participants. i.e. participants are known to researchers, identifiable information collected via consent form and voice recordings.

5 Project Title and Summary
- 5.1 Remove "New Application" from here and enter in a title that is relevant to the research.
- 5.2 Ensure the information provided is clear, addresses the question and is free from jargon. Ask another to read the response if they are unable to understand what is stated, then the information provided is unclear and needs reworking.
- 5.3 Ensure the aims outline here are achievable, and the data collection tools will address them.

6 Investigators
- 6.1 Please ensure the correct AOU code has been entered here.
- 6.2 If a student research project. The student researcher can be listed as the Principal Investigator.
- 6.3 Include any additional investigators here. i.e. co-investigators, supervisors, etc.

7 Benefit and Risk
- 7.1 Outline any benefits that may result from the research. i.e. ensure the risks do not outweigh the potential benefits of the research
- 7.2 researchers should acknowledge the risks involved with the research (sometimes the only risk may be social or time).
- 7.4 this section should address/ minimise each risk acknowledged at section 7.2
- 7.7 The strategies outlined here are to reduce the risks to the researchers

8 Type of Research
- 8.1.2 Only tick 'Yes' to this question if the research is being conducted by a cohort of students.

9 Conflict of Interest
- 9.1 Consider if your research involves a conflict of interest. Refer to Chapter 5.4 of the [National Statement on Ethical Conduct in Human Research, 2007 (updated 2018)](#) for further information.

10 Funding
- 10.1 Indicate 'Yes' here if your project has received funding. Note these details will also need to be conveyed to participants. No need to tick 'yes' here if your research has 'USQ internal funding schemes' or 'postgraduate scholarship'.

11 Data Access and Security

- 11.1 Please refer to the [University's Research Data Management Policy/ Procedure](#) and update your practice to ensure the security of research data by using University systems and storage facilities (including 1 x primary & 2 x back-up). Contact [eResearchServices@usq.edu.au](#) for further assistance (if required).

- 11.1 Has a [Data Management Plan](#) been completed. Section 3 of the [Management of Data and Information in Research: A guide supporting the Australian Code for the Responsible Conduct of Research](#); indicated that a data management plan should be developed as early as possible in the research process.

- 11.2 If an external transcription service is being utilised, the response here should be revised to 'yes' and addressed accordingly.

- 11.3 This question requires you to think about whether it is appropriate for the data collected for, or used within, this research project to be shared and reused by other researchers (including yourself) in the future. USQ encourages researchers to think about appropriate data management strategies early in the research design process and develop a Data Management Plan. Contact a USQ Research Librarian to discuss your specific data management requirements. That is, do you plan to publish a 'data set' from the research findings (versus outlining how you will disseminate your research findings). Please reconsider your response in this section.

- 11.5.1 / 11.5.2 Noting data has a minimum retention period (and there is no requirement to destroy data) researchers like to indicate a time period here, for some data the time period may not be appropriate. i.e. generally data needs to be held for 5 years, but consent forms must be retained for 15 years. Researchers should also check guidelines or current freezes before disposing of any data.

12 Communication of Research findings….

- 12.3 How will participants (or interested parties) request and/ or access a summary of results? i.e. providing a copy of a journal article, may not be appropriate for the pool of participants being recruited. Access to results needs to be fair and clear.

Direct recruitment and/or observation of human participants

Participant Overview

- PG1.6 Consider if you or any other listed researchers have a pre-existing relationship with the participants. If 'yes', ensure the social risks have been acknowledged and addressed at section '7 Benefit & Risk'.

- PG1.7 If you are recruiting Aboriginal and/or Torres Strait Islander Peoples ensure the cultural needs of the participants are considered. This also applies to recruiting participants from outside of Australia.

Recruitment Method

- PG1.8 Generally, the response here should be 'yes'.

- PG1.9 If 'Personal Contacts' is indicated here, ensure the social risks have been addressed in section '7 Benefit & Risk'.

- PG1.11 Consider who and how participants will be invited. Consider your current relationship with the potential participants, i.e. If you are the manager of the participants, it may not be appropriate that the invitation to participate is sent from you. Consider if another could send the invitation (i.e. administration officer) and if participants have any questions or wish to participate can contact you.

- PG1.12.1 Provide adequate justification for the payment/ incentive that is to be used. The payment is neither calculated to provide or likely to have the impact of providing an undue inducement to participate in the research. The payment is appropriate for the participant pool, i.e. not enticing but also not insulting.
    - Does every participant receive the payment? Is it a raffle? Or are only selected participants receiving the payment?
    - How are participants receiving the payment? Who are your participants? i.e. it may not be appropriate to provide participants with a cash payment – additional risks around what participants can purchase with that type of payment.
    - Refer to the following documents if your research involves the use of incentives:
        - [Guidelines for giving of prizes as incentives for research participation in a research activity](#)
        - [Standard terms and conditions of entry into a prize draw for participation in a research activity](#)
        - [Standard entry into prize draw for research activity form](#)

Data Collection Methods
- Tick "yes" to all the appropriate data collection methods and ensure the complete question has been addressed – commonly, researchers only address half the question or indicate "refer to attached".

Data Collection Procedure and Competence
- PG1.23 Provide a step-by-step process of what participants will experience during the research project. i.e. 1. Potential participants will receive an email invitation from the organisation administration officer; the email will contain the Participant Information Sheet & consent form. 2. If a participant has any questions or wishes to participate, that can contact the research team. 3….etc.
- PG1.24 Indicate the time commitment required for each data collection method identified on the previous page.

Consent Method
- PG1.28 Consider if participants have the capacity for consent for themselves. i.e. child participants may also require parental/ guardian consent.
- PG1.31 consider your data collection methods and participants to determine how consent can be obtained
- PG1.31.1/ PG1.31.2 Outline how informed consent will be obtained from participants. If the group contains multiple data collection methods, ensure you outline the consent process for each data collection method. Consider if participants will be provided with information sheets and when they will receive the information sheets.

Supporting documents
- Ensure researchers have submitted a Participant Information Sheet and consent form (if required) for each participant group or data collection activity
- Data management plan
- Risk management plan
- Any required permissions should be attached, i.e. permissions to recruit participants from within an organisation (if required)

- A copy of the data collection tool/s should be attached
- Advertisements or invitation emails
- When attaching the supporting documents consider the following – noting these are the documents that are provided to participants:
    - Have you used the USQ templates?
    - Is the information clear?
    - Does the document contain any grammatical errors?
    - Has all the required information been provided – refer to section 2.2.6 of the National Statement (outlines what information must be conveyed to participants)
    - Does the information align with the details provided in the application?